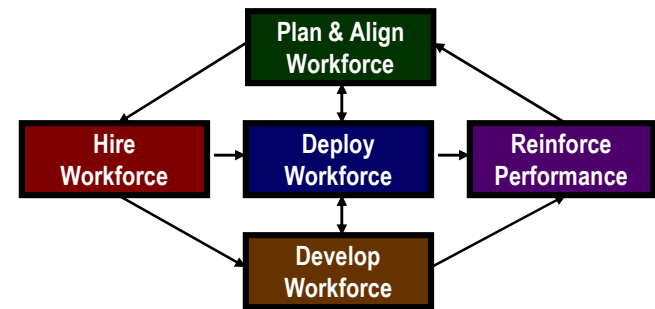

State of Washington Department of Corrections

Human Resource Management Report

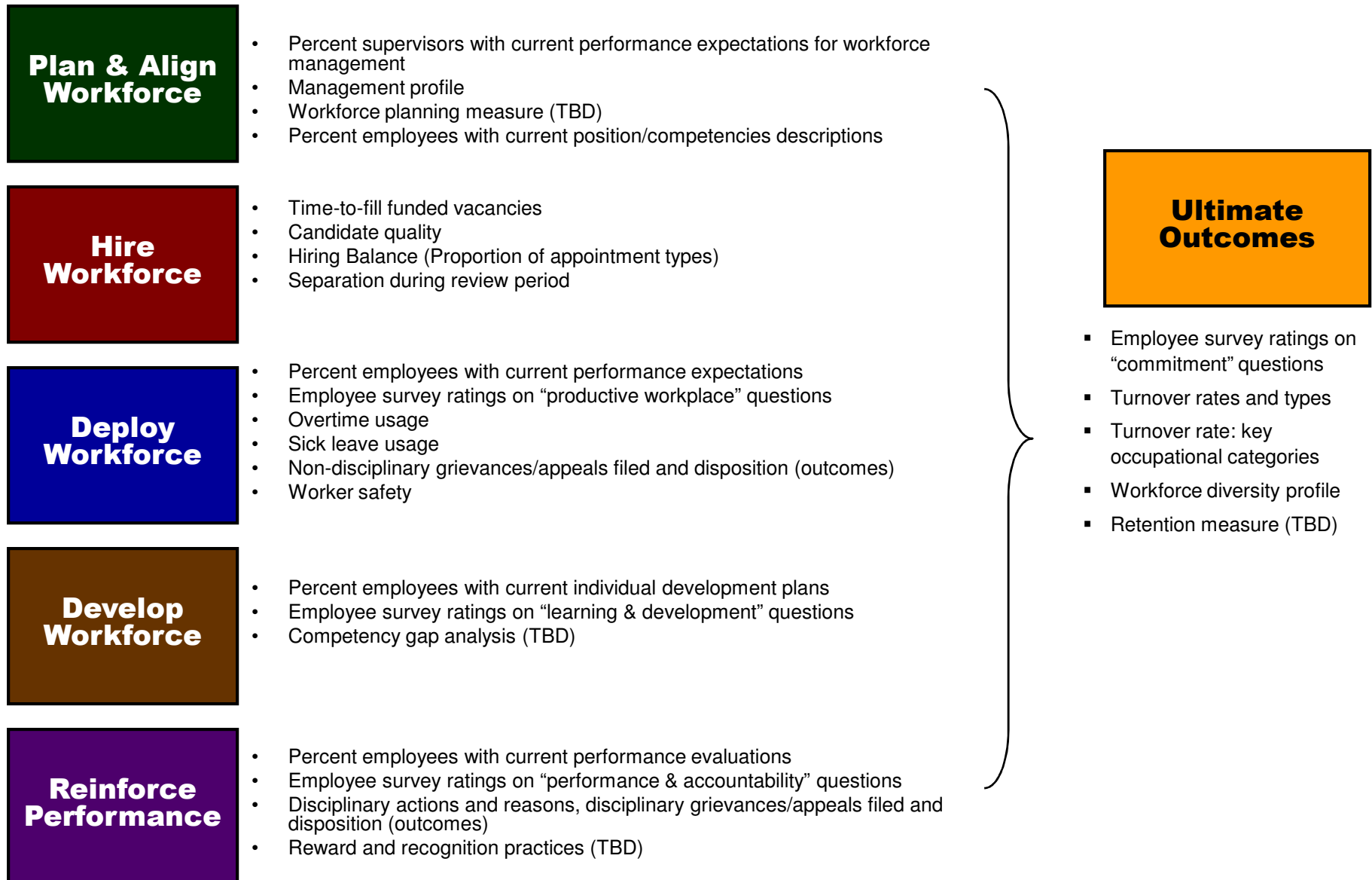


October 2008

Managers' Logic Model for Workforce Management



Standard Performance Measures



Plan & Align Workforce

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/competency descriptions

Workforce Management Expectations

Agency Priority: Low

Percent supervisors with current performance expectations for workforce management = 100%*

*Based on 1483 of 1483 reported number of supervisors

DOC completed this goal by developing the Core Competencies for all employees, with specific competencies identified for supervisors and managers, which included *People Management and Managing for Results*.

Management Profile

Agency Priority: Low

Plan & Align Workforce

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/competency descriptions

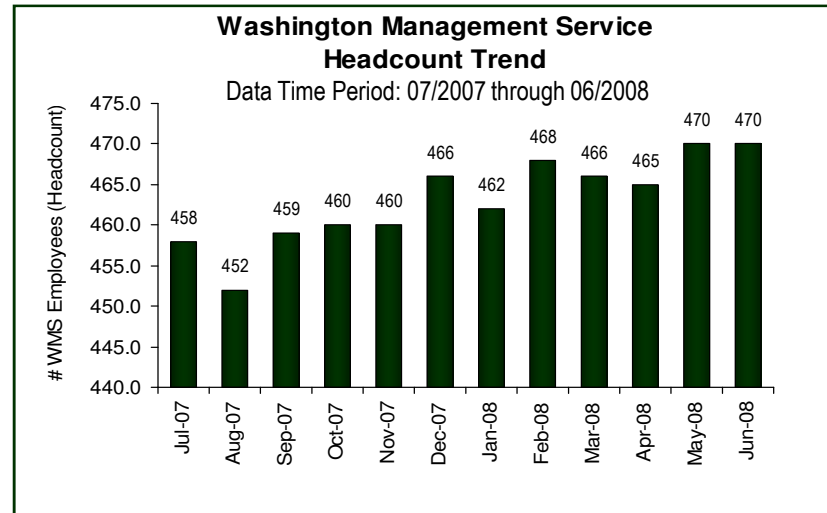
WMS Employees Headcount = 470

Percent of agency workforce that is WMS = 5.3%

Managers* Headcount = 480

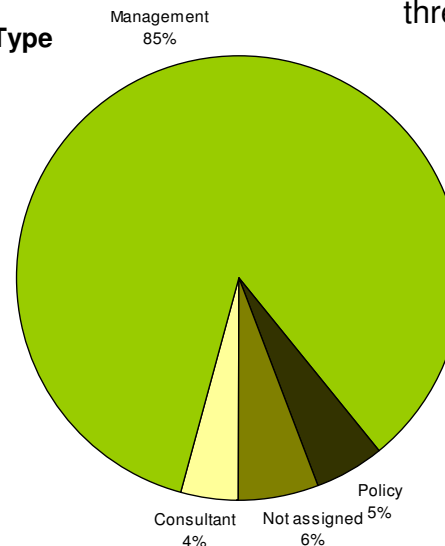
Percent of agency workforce that is Managers* = 5.4%

* In positions coded as "Manager" (includes EMS, WMS, and GS)



WMS Management Type

Management	400
Consultant	19
Policy	24
Not Assigned	27



Data as of 06/2008
Source: DOP Business Intelligence

Analysis:

- DOC's mid-management workforce is 2% lower than the statewide percentage threshold.
- At 5.3%, DOC is slightly under the 5.6% threshold expectation.
- Also a positive factor, DOC finalized a WMS policy and procedures manual regarding appointments and salary setting in January 2008.
- DOC implemented a procedure between budget and human resources in order to monitor the creation of new WMS positions more closely.

Action Steps:

- Continue to monitor to ensure the Department does not exceed the 5.6% threshold.

Plan & Align Workforce

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/competency descriptions

Current Position/Competency Descriptions

Agency Priority: Low

Percent employees with current position/competency descriptions = 90.2%

*Based on 8228 of 9122 reported employee count
Applies to employees in permanent positions, both WMS & GS

Analysis:

- Current percentage is a reduction from last fiscal year.
- Numerous expansion positions and more employees have been hired since last fiscal year. An increase of 14% (FY07 8031 employees, FY08 9122 employees) since last fiscal year, which has contributed to the decrease.

Action Steps:

- Continue current efforts to meet the 100% goal.
- Keep Appointing Authorities informed by identifying which positions do not have current/updated position descriptions.
- Hold Appointing Authorities accountable for timely completion.
- HR will continue to provide necessary assistance to supervisors and employees on completing position descriptions.

Data as of 10/2008
Source: Agency Tracked Data

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

Performance Measures

Time-to-fill vacancies

Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

Time-to-fill / Candidate Quality

Agency Priority: High

Time-to-fill Funded Vacancies

Average number of days to fill*:	80.5
Number of vacancies filled:	952

*Equals # of days from creation of the requisition to job offer acceptance

Agency Priority: Low

Candidate Quality

Of the candidates interviewed for vacancies, how many had the competencies (knowledge, skills & abilities) needed to perform the job?

Number = 177 Percentage = 21.0%

Of the candidates interviewed, were hiring managers able to hire the best candidate for the job?

Hiring managers indicating "yes":

Number = 43 Percentage = 95%

Hiring managers indicating "no":

Number = 2 Percentage = 5%

Analysis:

- Out of the 952 vacancies filled through E-Recruiting, it took an average of 80.5 days to fill a position (a reduction of 10.9 days from last year). Agency's own hiring delay contributed to positions not being filled timely.
- As this includes the posting time for a position and this varies, this time period does not seem unreasonable, but is also seriously misleading.
- Not all positions are filled through E-Recruiting. Due to the nature of the system, the Department has had to run "shadow" systems to ensure positions are filled timely. Therefore, this data does not represent the total picture of hiring activity.
- The uniqueness of DOC's volume recruiting efforts using hiring events to make conditional job offers on the spot does not lend itself to tracking time-to-fill activity. Correctional Officers, Community Corrections Officers, and RN's are presently being hired via this process. Events are scheduled based on current and projected vacancies as determined by expansion and turnover estimates, up to two months in advance. A calendar of these events is published on InsideDOC. Recruitment teams work on a statewide basis to facilitate these events, consistent with a published Recruitment Plan effective October 1, 2008. Progress is tracked monthly, and has had a profound impact on the reduction of custody overtime. Efforts in this area directly tie in with the agency's strategic plan goal: Focus on the Workforce.
- There are still some inconsistencies in the use of the Candidate Quality tool.

Action Steps:

- Monitor hiring activity monthly, particularly CO's, RN's and CCO's.
- Fully staff the recruitment teams.
- Continue looking at the selection process to ensure we are focusing on candidate quality.
- Examine CO probationary separations, to mitigate potential candidate quality issues.
- Continue to work with DOP and the idiosyncrasies of E-Recruiting.
- Continue to work with HR staff to ensure supervisors are sent the Quality Candidate survey through E-Recruit.

Data Time Period: 07/2007 through 06/2008
Source: E-Recruit System

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

Performance Measures

Time-to-fill vacancies

Candidate quality

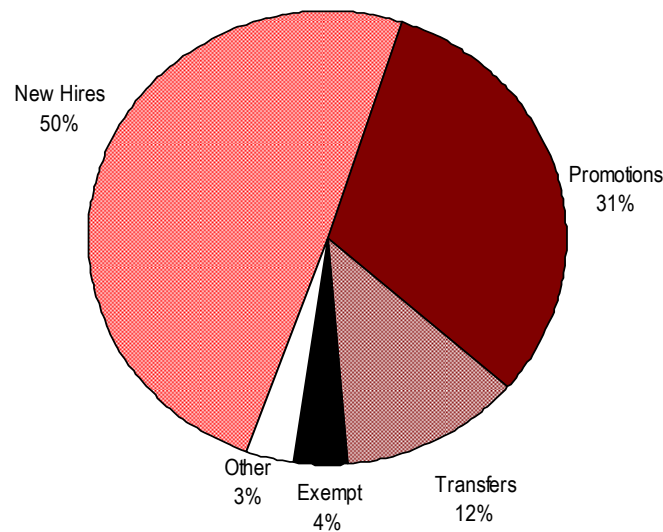
Hiring Balance
(proportion of appointment types)

Separation during review period

Hiring Balance / Separations During Review Period

Agency Priority: Low

Types of Appointments



Total number of appointments = 1906*

Includes appointments to permanent vacant positions only; excludes reassignments
"Other" = Demotions, re-employment, reversion & RIF appointments

Agency Priority: Low

Separation During Review Period

Probationary separations - Voluntary	79
Probationary separations - Involuntary	46
<i>Total Probationary Separations</i>	<i>125</i>
Trial Service separations - Voluntary	27
Trial Service separations - Involuntary	3
<i>Total Trial Service Separations</i>	<i>30</i>
Total Separations During Review Period	155

Data Time Period: 07/2007 through 06/2008
Source: DOP Business Intelligence

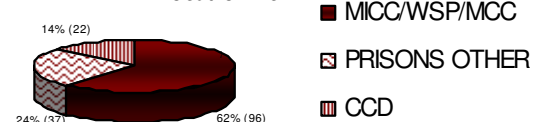
Analysis:

- Overall appointments increased from 925 to 1906 between reporting periods (981 overall). Increase represents more entry level new hires, likely attributed to expansion.
- Overall percentage of Probationary/Trial Service separation decreased from 12.8% to 8.1% due to the increase in the overall appointments.
- Probationary voluntary separations increased by 25 compared to last fiscal year.
- Trial Service involuntary separations increased by 22 compared to last fiscal year.

Action Steps:

- Review a drill-down of appointments and separations by job class and areas.
- Examine whether or not our involuntary separations are due to candidate viability/quality, which is directly linked the Strategic Plan goal: Focus on the Workforce
- Identify the voluntary separation by class research the reasons why they left to see if candidate viability is an issue.
- Improvements to COACH program process to ensure new employees receive mentoring and guidance needed and timely evaluations.

Prob & Trial Service Separations Location Per



Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Current Performance Expectations

Agency Priority: Medium

Percent employees with current performance expectations = 71%*

*Based on 5,231 of 7,355 reported employee count
Applies to employees in permanent positions, both WMS & GS

Analysis:

- Overall PDP completion rate decreased 4% from last fiscal year.
- DOC Human Resources (HR) will continue to provide training to all managers/supervisors so they are prepared to initiate the new PDP process.
- Additional staff/positions added, may contribute to the decrease in percentage completed.
- Field and Institution evaluations have improved significantly compared to last fiscal year.

Action Steps:

- Training plan for all supervisors in place. So far 25 training session completed (293 staff), which began in September 2008 and to continue until all supervisors are trained.
- Continue to make this a high priority to include steps to increase the percentage completed at HQ.
- Policy updated and from separated to facilitate expectation piece.
- The Department Secretary has developed performance agreements for his Assistant Secretaries, which is linked to the Strategic Plan.
- Executive staff will establish performance expectations for their direct reports linked to the Strategic Plan.

Data as of 10/2008
Source: Agency Tracked Data

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

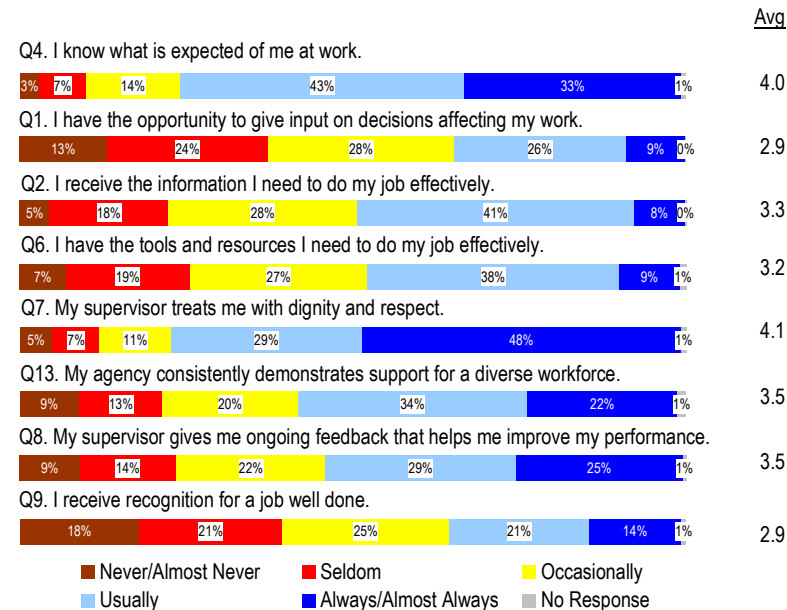
Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Employee Survey "Productive Workplace" Ratings

Agency Priority: High



Overall average score for "Productive Workplace" ratings: 3.4

Analysis:

- The current survey results shows the Productive Workplace rating decreased overall by .1, when compared to the previous survey results.
- Roughly 40% of the agency participated in the survey. Survey was available electronically as well as hardcopy to increase accessibility.
- 40% of respondents have 10 or more years of service within DOC.

Action Steps:

- Continue to recognize staff for great work.
- Continue to post and/or contribute stories about staff/program "real world work" on the internal intranet site, in local newsletters, and with local media.
- Continue to sponsor the annual "Agency Awards" and local awards events.
- Deliver "Respect in the Workplace" training to DOC staff.

Data as of 06/2008
Source: 2007 Survey

Overtime Usage

Agency Priority: Medium

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

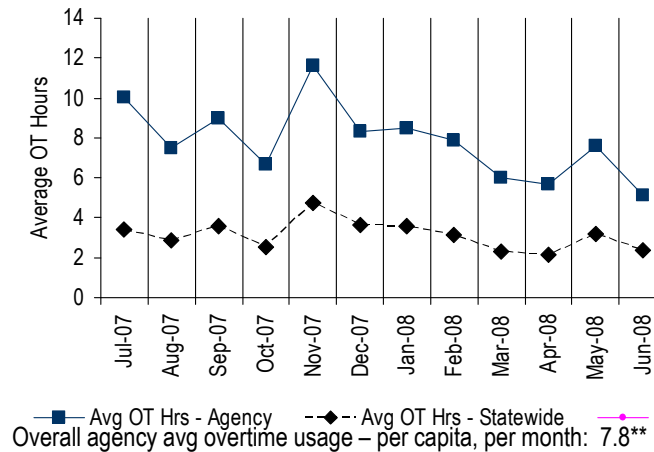
Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

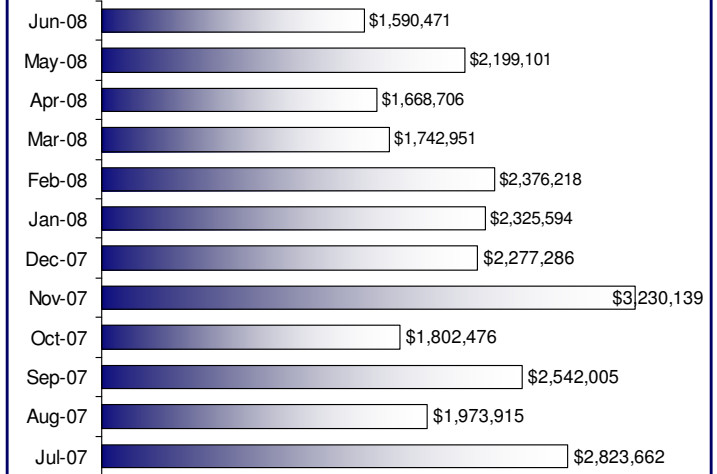
Average Overtime (per capita) *



*Statewide overtime values do not include DNR

**Overall agency avg overtime usage – per capita, per month = sum of monthly OT averages / # months

Overtime Cost - Agency



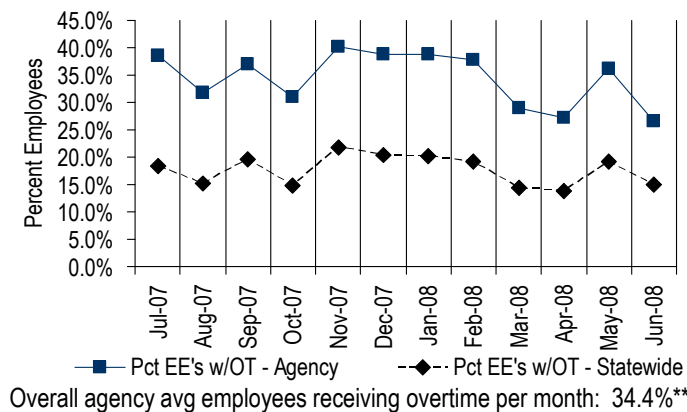
Analysis:

- Overtime is an issue at the major institutions. Major reason for overtime use is vacancy rates due to turnover and expansion. Over the past year, overtime costs have been reduced due to the extensive recruitment efforts by the Department's new recruitment team.
- Overall agency average overtime usage per capita, per month, is down from 11.2 to 7.8 compared to last fiscal year, a 30% reduction. Overtime dollar amount was reduced by \$400,000, a 1.6% reduction. The number of employees receiving overtime was reduced by 3.7% points compared to last fiscal year, due to less mandatory overtime requirements driven by lower vacancy rates. Average hours used per capita was reduced by .4 hours compared to last fiscal year.

Action Steps:

- Appointing Authorities are working to ensure they recruit based on projected vacancies, determined by historical activity and expansion requirements, rather than waiting for the vacancy to occur to recruit.
- Occupational Nurse Consultants have developed plans specific to each institution to address relief requirements created by employees on LNI, which can also have a significant impact on overtime.
- DOC has conducted several GMAP's on overtime and continues to be challenged in reducing overtime; however, the agency monitors overtime on a monthly basis, as referenced in the following slide.

% Employees Receiving Overtime *



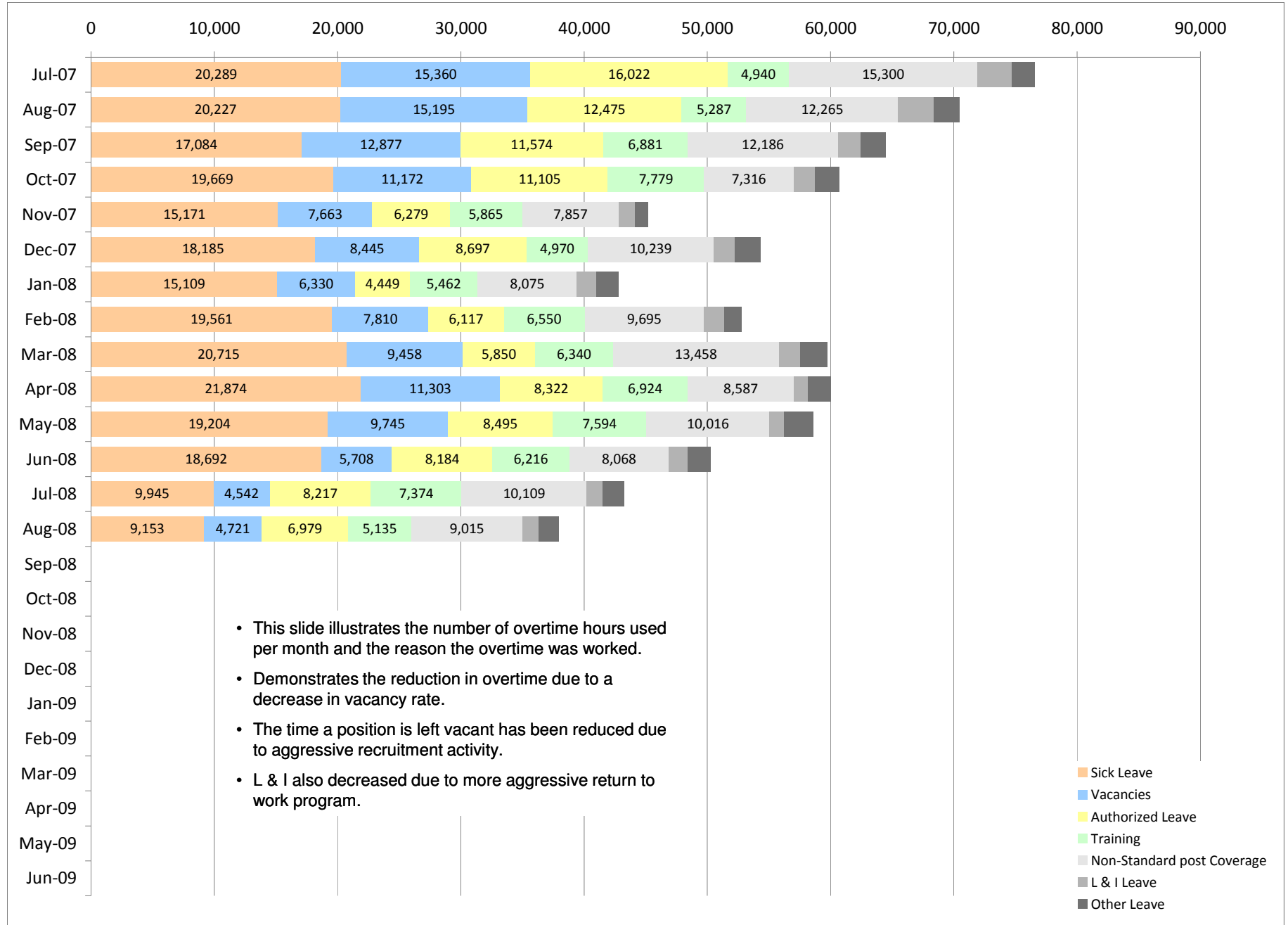
*Statewide overtime values do not include DNR

**Overall agency avg employees receiving overtime per month = sum of monthly OT percentages / # months

Data Time Period: 07/2007 through 06/2008

Source: DOP Business Intelligence

Department of Corrections



Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

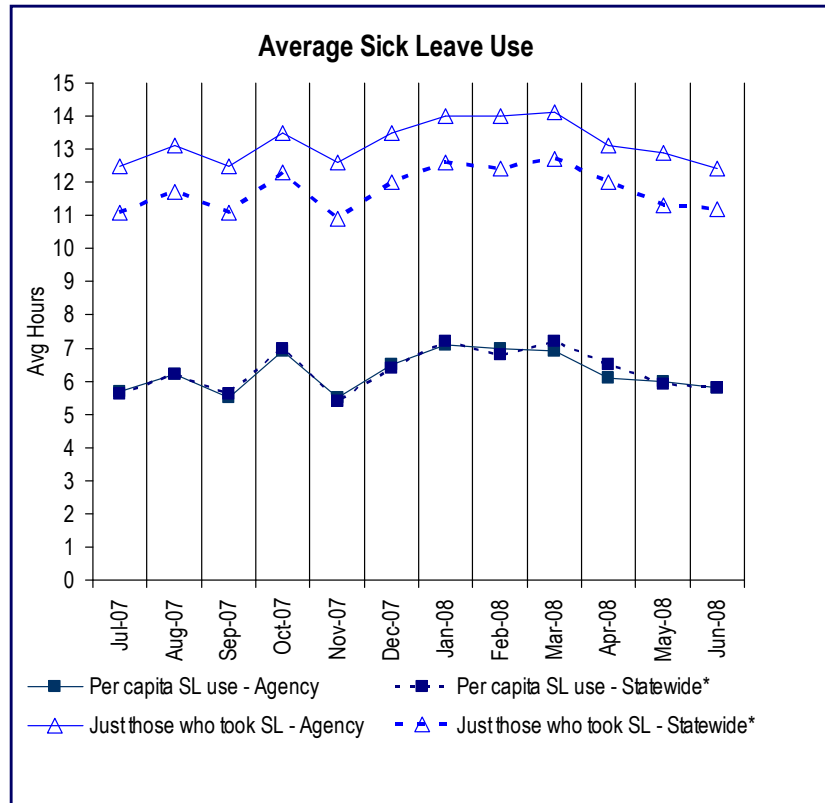
Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Sick Leave Usage

Agency Priority: Low



Sick Leave Hrs Used / Earned (per capita)

Avg Hrs SL Used (per capita) - Agency	% of SL Hrs Earned (per capita) - Agency	Avg Hrs SL Used (per capita) - Statewide*	% of SL Hrs Earned (per capita) - Statewide*
6.3 Hrs	81.1%	6.3 Hrs	81.3%

Sick Leave Hrs Used / Earned (those who took SL)

Avg Hrs SL Used (those who took SL) - Agency	% SL Hrs Earned (those who took SL) - Agency	Avg Hrs SL Used (those who took SL) - Statewide*	% SL Hrs Earned (those who took SL) - Statewide*
13.2 Hrs	164.8%	11.8 Hrs	147.3%

* Statewide data does not include DOL, DOR, L&I, and LCB

Data Time Period: 07/2007 through 06/2008
Source: DOP/Planning and Performance Office

Department of Corrections

Analysis:

- Trend and per capita use of sick leave is close to state average and has decreased .3% from last fiscal year.
- It is anticipated that implementation of a recruitment and retention plan has contributed to decreasing sick leave use in Prisons for C/O's, as vacancy rates have been reduced and turnover minimized.
- Assuming we can continue to reduce the custody vacancy rate by .5% per year this should reduce overtime hours per capita by 1%, which should then reduce sick leave per capita by .5% per fiscal year. Thereby, staff are not exhausted with all of the mandatory overtime they are required to do.

Action Steps:

- The Department will continue its recruitment efforts in Prisons.
- Further, we are implementing dedicated recruitment efforts for CCO's (42 vacancies) and RN's (71 vacancies) on a statewide basis. We anticipate that filling these vacancies will ultimately reduce sick leave for this group, who have been impacted by an increase in workload which we believe drives an increase in the use of sick leave.
- In September, DOC kicked off its wellness initiative with a letter from Eldon Vail to all staff, that includes encouragement for them to complete their HRA. DOC has improved on its overall completion rate, but still has a ways to go. A wellness campaign plan was developed and the main target audience is initially the Headquarters area, although wellness committees have now been established in each institution and the eight community corrections sections. Weekly wellness tips and posters will be distributed to staff with a focus on exercise, nutrition, healthy habits, and preventative care, and all of this information is available on the agency's occupational health website. These efforts will be expanded statewide next year.

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

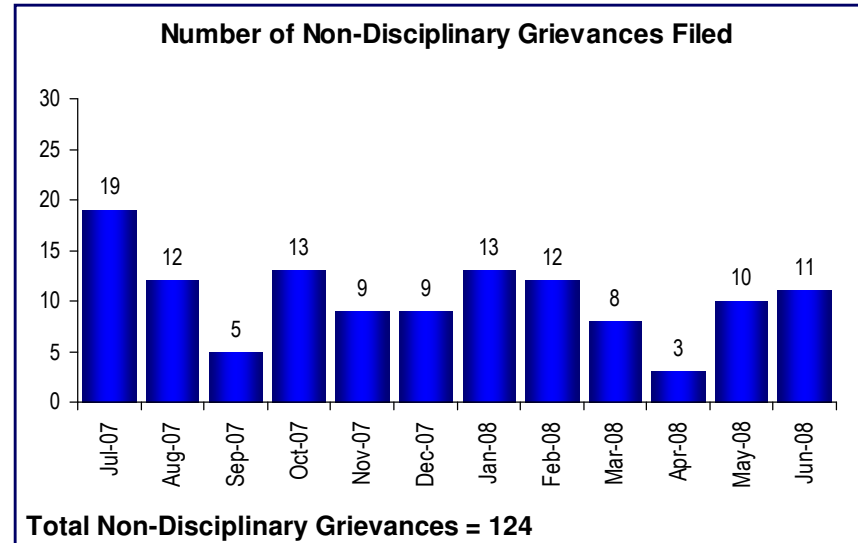
Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Non-Disciplinary Grievances (represented employees)

Agency Priority: Medium



Non-Disciplinary Grievance Disposition*

(Outcomes determined during time period listed below)

- 49 Withdrawn
- 37 Settled
- 30 Open
- 6 Incorporated into other Grievance
- 2 Pending

Data Time Period: 07/2007 through 06/2008
Source: Agency Tracked Data

Top 5 Non-Disciplinary Grievance Types (i.e., Compensation, Overtime, Leave, etc)

Grievance Type	# Grievances
1. Overtime	33
2. Bid System	19
3. Safety	7
4. Compensation	6
5. Vacation Leave	5

Analysis:

- 79% of the grievances were filed by the Teamsters and 21% were filed by WFSE.
- 94% of the overtime grievances were filed by the Teamsters. In the 2007-2009 Teamsters CBA, significant changes were made to the overtime article. 13 of the overtime grievances filed occurred in the first two months the contract was effective.
- All of the bid system grievances have been resolved at or below the mediation step of the grievance process.

Action Steps:

- Monitor grievance activity to identify issues that may be resolved in future negotiations or through training.
- Provide grievance data by location and article name to Agency leaders semi-annually.

Non-Disciplinary Appeals (mostly non-represented employees)

Agency Priority: Low

Filings for DOP Director's Review

- 5 Job classification
- 1 Rule violation
- 0 Name removal from register
- 0 Rejection of job application
- 0 Remedial action

6 Total filings

Filings with Personnel Resources Board

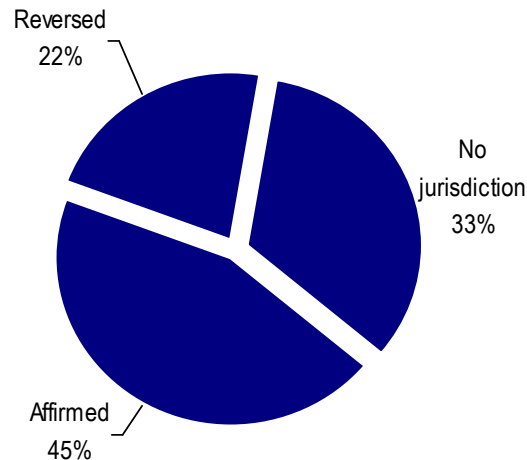
- 2 Job classification
- 0 Other exceptions to Director Review
- 0 Layoff
- 1 Disability separation
- 0 Non-disciplinary separation

3 Total filings

Non-Disciplinary appeals only are shown above.

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

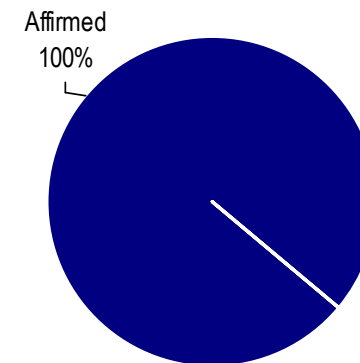
Director's Review Outcomes



Total outcomes = 9

Data Time Period: 07/2007 through 06/2008
Source: Department of Personnel

Personnel Resources Board Outcomes



Total outcomes = 3

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations
Employee survey ratings on "productive workplace" questions
Overtime usage
Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Agency Priority: High

Department of Corrections

Worker Safety: Corrections, Department of

Analysis:

- Worker safety and the prevention of injuries are directly related to the number of claims and the amount of time loss
- Total claims in 2007 fluctuated from quarter to quarter; however, time loss claims appeared to stabilized or decrease slightly

Action Plan:

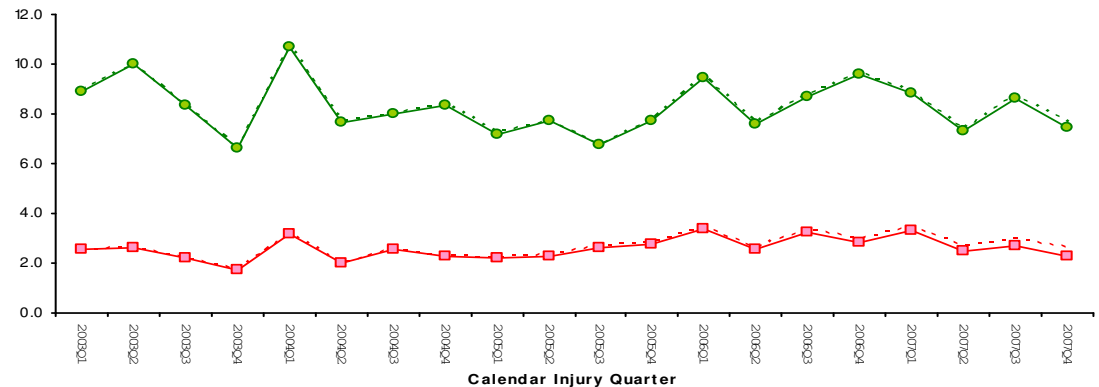
- Monthly meetings between Safety officers and occupational nurse consultants (ONC) to discuss all accident reports, claim events and identify prevention strategies to be shared with local site staff.
- ONCs have established strategic plans with each institution to provide aggressive claim management. Aggressive use of modified duty programs has had an impact on total time loss. Annual IDC teachings by ONCs is being developed as an on-line program. This frees up more time for claim monitoring.
- Risk Management department is in the development and implementation phase of a statewide SharePoint accident reporting system for compiling and sharing accident report data and analysis.

Annual Claims Rate:

Annual claims rate is the number of accepted claims for every 200,000 hours of payroll

200,000 hours is roughly equivalent to the numbers of yearly payroll hours for 100 FTE

—●— claims rate
 —■— compensable claims rate
 - - - - - projected claims rate
 - - - - - projected compensable claims rate

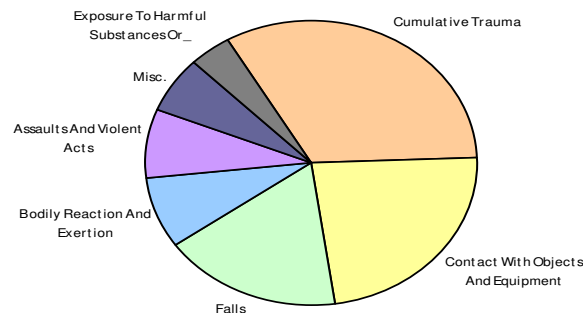


All rates as of 06-30-2008

Accepted Claims by Occupational Injury and Illness Classification System (OIICS) Event:

calendar year-quarter
2003Q1 through 2007Q4

(categories under 3%, or not adequately coded, are grouped into 'Misc.')



Cumulative Trauma Claims

Oiics Code	Oiics Description	Count
2	Bodily Reaction And Exertion	1057
9	Other Events Or Exposures	139
0	Contact With Objects And Equipment	8

Source: Labor & Industries, Research and Data Services (data as of 06/30/2008)

Develop Workforce

Outcomes:

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

Performance Measures

Percent employees with current individual development plans

Employee survey ratings on "learning & development" questions

Competency gap analysis (TBD)

Individual Development Plans

Agency Priority: Medium

Percent employees with current individual development plans = 71%*

*Based on 5,231 of 7,355 reported employee count
Applies to employees in permanent positions, both WMS & GS

Analysis:

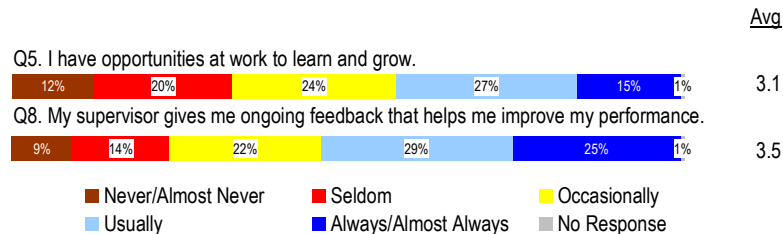
- Completion Rate of annual performance evaluations has decreased compared to last fiscal year. DOC is committed to offering staff access to training internal and external to the agency. DOC regularly encourages and pays for staff to attend professional conferences and training for growth and development. DOC offers a Tuition Reimbursement program so staff can continue to pursue educational professional goals.

Action Steps:

- Continue to reinforce the expectation that all staff receive timely and meaningful performance evaluations Continue to update agency training programs. Continue to partner with higher education institutions to enhance staff training and increase educational opportunities.

Employee Survey "Learning & Development" Ratings

Agency Priority: High



Overall average score for "Learning & Development" ratings: 3.3

Analysis:

- The current survey results shows the Learning and Development rating remained the same at 3.3 when compared to the previous survey results.

Action Steps:

- Increase delivery of supervision and leadership training to agency supervisors and managers.
- Continue to offer staff access to training, internally and externally, for growth and development.

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Current Performance Evaluations

Agency Priority: High

Percent employees with current performance evaluations = 71%*

*Based on 5,231 of 7,355 reported employee count
Applies to employees in permanent positions, both WMS & GS

Analysis:

- This is a decrease of 4% points compared to last fiscal year.
- Keeping up with evaluations is a challenge, and we are particularly impacted by the following during this period of time:
 - o Incoming Secretary Vail restructured, which resulted in the creation of two new divisions and the addition of a Deputy Director. This also resulted in turnover in some key management positions. This is supported by data that shows that the lowest percentage of completed evaluations is in Headquarters.
 - o Expansion and turnover impact affect timely evaluations in our institutions due to the significant movement of supervisors and officers. The bid process allows movement every six months and supervisors do not always become aware of due dates timely.
 - o Sergeant span of control is fairly large, especially in the larger institutions and it is often difficult to keep up with this workload. Correctional Officers is our largest job class.

Action Steps:

- Continue efforts to meet 100% of evaluations due for the next reporting period.
- A recent update to the policy divided Parts 1-3 and 4-5, thus making it easier to track when expectations were provided and when evaluations were completed. This also mitigated substantial confusion over the use of one form for what amounted to separate processes.
- A major change to the policy included a supervisory feedback form, to provide a format for employees to give feedback about their supervisor to their supervisor's supervisor. A phased in plan includes starting this process with all exempt staff for the first fiscal year.
- Training materials were recently developed for supervisors and provided to HR staff in August. Training sessions have started and thus far 25 sessions have been conducted for 293 supervisors. Training will continue until all supervisors have been trained.
- Secretary Vail has developed Performance Agreements with his Assistant Secretaries, and all have the expectation that evaluations will be completed on time. Reports have been provided by Human Resources to assist in this process. Status reports are shared with the Executive Leadership Team during quarterly meetings. Some divisions are changing the due date from anniversary date to one particular month during the year to help with the focused effort.
- The Prisons Division sent out written expectations to institution Superintendents to make evaluations a priority.
- Changes were made to the Coach program for Correctional Officers to make the evaluation process less cumbersome when it coincided with periodic program check-dates. Now, when a probationary CO comes out of CORE training, he/she will be provided expectations in accordance with the evaluation policy (parts 1-3), then follow up "check-ins" at 3, 6, and 9 months, and a final evaluation at 12 months (parts 4-5).
- A supplemental budget request was submitted for funds to update the staffing model. This would facilitate a review of the sergeant's span of control.
- Continue to work with HR staff to ensure reports are accurate, and data entry is being completed when evaluations are submitted for inclusion in the personnel file.

Data as of 10/2008
Source: Agency tracked data

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

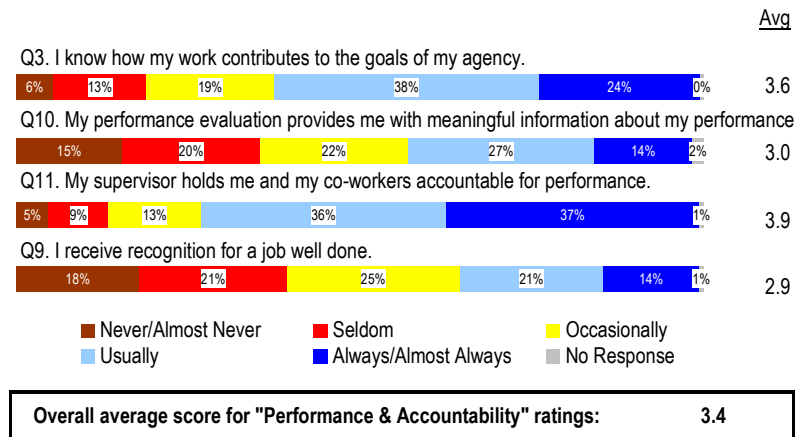
Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Employee Survey "Performance & Accountability" Ratings

Agency Priority: High



Analysis:

- The current survey results shows the Productive Workplace rating decreased overall by .1, when compared to the previous survey results.

Action Steps:

- Develop a performance measure reporting schedule on agency core performance measures.
- Establish a schedule to post agency level performance measures reports on DOC internal intranet site.
- Provide increase training to increase completion rate and quality of employee performance evaluations.
- Improve the evaluation process for supervisors by creating opportunities for staff to provide input into their supervisor's evaluation.

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Formal Disciplinary Actions

Agency Priority: Low

Disciplinary Action Taken

Action Type	# of Actions
Dismissals	7
Demotions	1
Suspensions	5
Reduction in Pay*	21
Total Disciplinary Actions*	34

* Reduction in Pay is not currently available as an action in HRMS/BI.

Issues Leading to Disciplinary Action

- 8 Failure to Follow Security Procedures
- 5 Information Technology
- 4 Attendance
- 3 Use of Force
- 2 Drug & Alcohol Free Workplace Violation
- 2 Inappropriate Offender Contact
- 10 Other

Analysis:

- The disciplinary actions related to Failure to Follow Security Procedures covered a wide range of security risks with no evident pattern.
- There has been a rise in disciplinary actions relating to Information Technology since all staff were given internet access.
- Compared to FY2007, the Department has taken 36% fewer disciplinary actions in FY2008. The greatest reduction occurred with the number of terminations (23 versus 7) and demotions (6 versus 1).

Action Steps:

- Determine if there has been a rise in the number of employees resigning in lieu of discipline.
- Monitor to see if information technology disciplines decrease after Secretary Vail's 05/21/08 memo regarding appropriate use of technology.
- Continue to track issues that are cause for disciplinary sanctions and provide data to agency leaders.

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

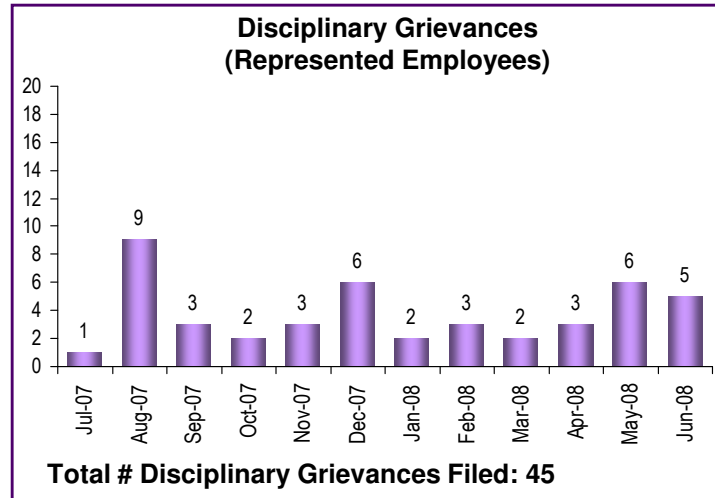
Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Disciplinary Grievances and Appeals

Agency Priority: Low



Disciplinary Appeals (Non-Represented Employees filed with Personnel Resources Board)

2 Dismissal
0 Demotion
0 Suspension
0 Reduction in salary

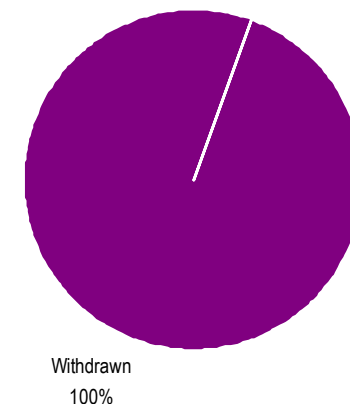
2 Total Disciplinary Appeals Filed with PRB

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Disposition (Outcomes) of Disciplinary Grievances

- 24 Settled
- 10 Withdrawn
- 10 Open
- 1 Arbitration

Disposition (Outcomes) of Disciplinary Appeals*



*Outcomes issued by Personnel Resources Board

Data Time Period: 07/2007 through 06/2008
Source: DOP, PRB, and Internal tracking

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Employee survey ratings on "commitment" questions

Turnover rates and types

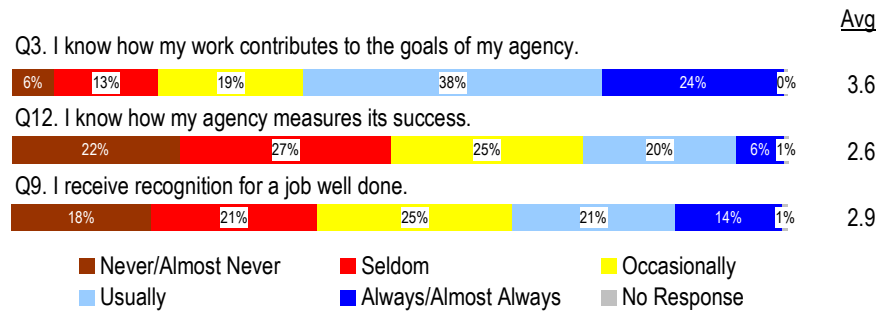
Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Employee Survey "Employee Commitment" Ratings

Agency Priority: High



Overall average score for "Employee Commitment" ratings:	3.0
--	-----

Analysis:

- The current survey results shows the Employee Commitment rating decreased overall by .1, when compared to the previous survey results.

Action Steps:

- Develop a performance measure reporting schedule on agency core performance measures.
- Establish a schedule to post agency level performance measures reports on DOC internal intranet site.

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Employee survey ratings on "commitment" questions

Turnover rates and types

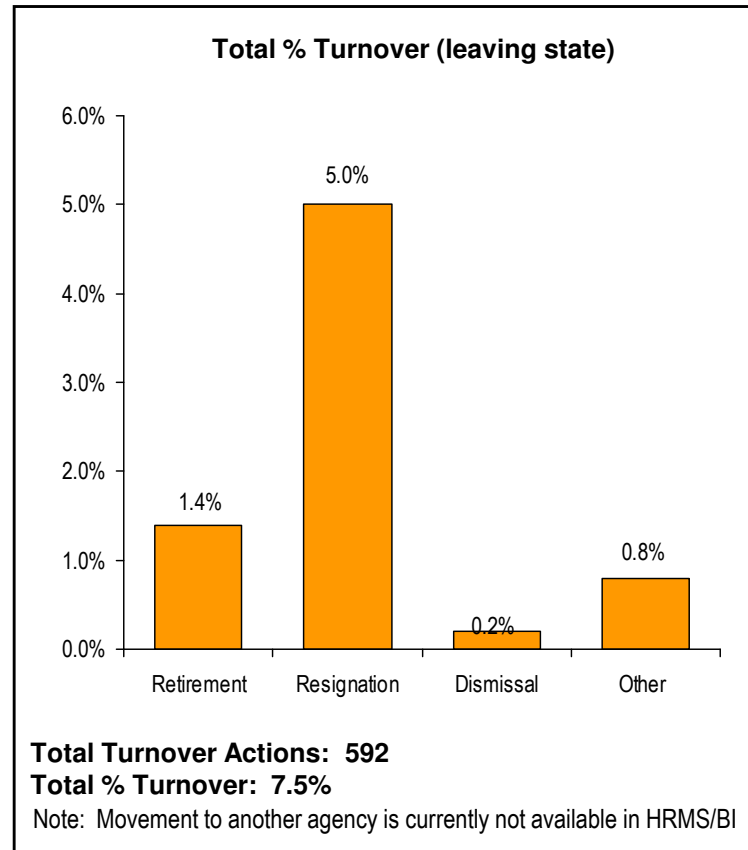
Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Turnover Rates

Agency Priority: Medium



Analysis:

- Decreased overall by .2%, when compared to the last fiscal year.
- Correctional Officers represent the most critical turnover out of all DOC classes. DOC progress since November 2006 in ensuring C/O starting wages are competitive have improved the retention in the job class. Strategies such as a higher standardized starting step (Step G/C/O1), 5% geographical pay for MCC, WSP and CRCC and the July 1, 2007, wage increase have supported retention. Specifically MCC turnover rate in FY08 was approximately 10%, a marked improvement from 15% in FY07.
- Retirement and Resignation has increased approximately 50% respectively compared to last fiscal year.
- As we continue to monitor and devise creative recruitment and retention strategies, DOC also continues to monitor Medical and other essential positions.

Action Steps:

- DOC conducted focus groups with C/Os and Sergeants, which studied the reasons tenured employees stay employed. The result will help the department strengthen its Recruitment and Retention plan.
- The focus sessions conducted provided more details as to what would retain C/Os. Next step on the C/O retention plan is developing retention strategies addressing: 1) improvements to the C/O evaluation process, 2) Sergeant/Supervisory training, 3) relationships between C/Os and Sergeants, 4) workload balance, and 5) the quality and training of new hires.
- Enhanced recruitment activities should continue to produce an improvement in vacancy rates and overall turnover.

Data Time Period: 07/2007 through 06/2008
 Source: DOP Business Intelligence

Workforce Diversity Profile

Agency Priority: Low

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Employee survey ratings on "commitment" questions

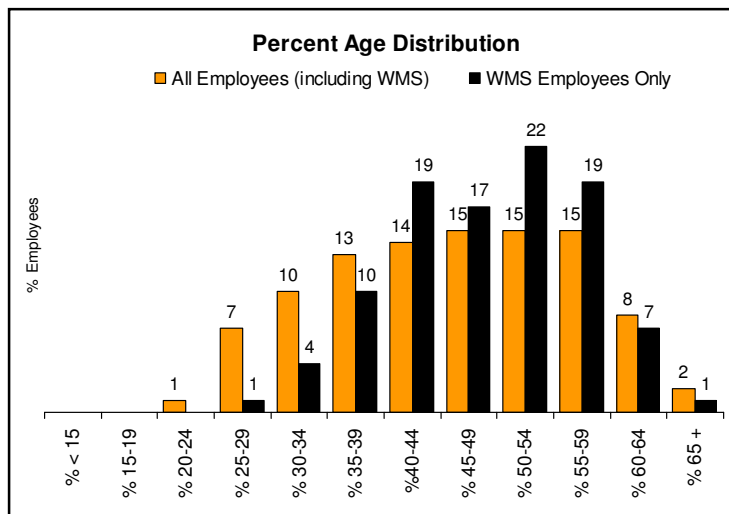
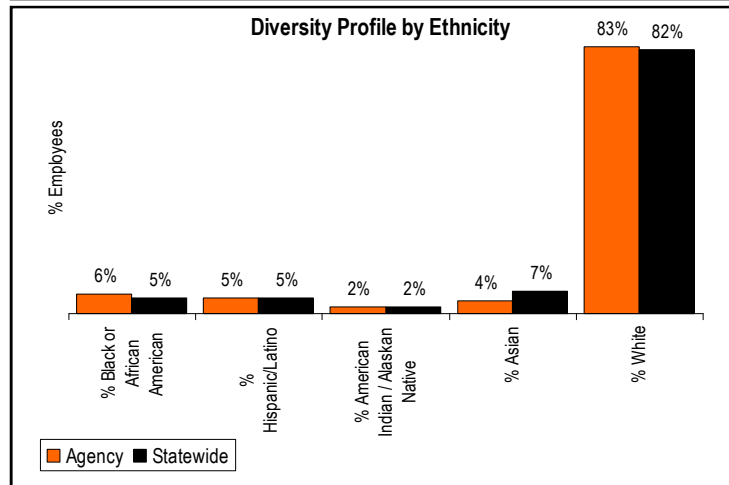
Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

	Agency	State
Female	37%	53%
Persons w/Disabilities	3%	4%
Vietnam Era Veterans	8%	6%
Veterans w/Disabilities	6%	2%
People of color	17%	18%
Persons over 40	69%	75%



Analysis:

- There has been no significant change in data since the last reporting period.
- DOC is significantly below the statewide profile for women 37% to 53% and slightly below for People of Color 17% to 18%.
- DOC is slightly below the statewide profile for Persons with Disabilities but employs a greater number of Vietnam Era Veterans and Veterans with disabilities than the rest of the state.
- DOC has increased the number of HR recruiters for utilization throughout the state, which will help efforts in this area.
- Three "Respect in the Workplace" training sessions have occurred since August 2008, in institutions and community corrections, and sessions will continue monthly for the rest of this year.

Action Steps:

- Workplace Diversity Consultants will be deployed statewide to meet with Appointing Authorities collaborating with area recruiters to develop recruitment plans around data.
- Offer and track the number of employees receiving Respect in the Workplace training. Training will be offered monthly, and include all institutions and selected community corrections office sites.
- Recruitment teams will work with Appointing Authorities to improve the diversity of their workforce.

Data as of 06/2008
Source: DOP Business Intelligence

Workforce Diversity Profile

Employee Survey “Support for a Diverse Workforce” Ratings

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Employee survey ratings on “commitment” questions

Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Agency Priority: High

Q13. My agency consistently demonstrates support for a diverse workforce.



Never/Almost Never
Seldom
Occasionally
Usually
Always/Almost Always
No Response

Average rating for "Agency support for a diverse workforce": 3.5

Analysis:

- Over 76% employees feels the department supports a diverse workforce.
- Research suggests current staff are one of the greatest recruiters of new staff
- Over 50% of CCD staff would not refer someone here for employment
- If a high % of staff will not refer friends or family to DOC for employment they may also not be casting the agency in a positive light in other conversations in business or social settings

Action Steps:

- Increase marketing of the New Employee Referral Program.
- Continue sending annual diversity support messages from the Secretary of the agency.
- Increase “Respect in the Workplace” training to include all institutions and many CCD field offices.
- Continue distributing the monthly diversity calendar.
- Improve focused recruitment.
- Continue diversity activities through the statewide diversity steering and local committees.
- The Agency Diversity Steering Committee will sponsor two Diversity forums at specified institutions to allow the local leadership and staff to provide direct information and discussion concerning diversity issues affecting their institutions.